

Account No.

客戶號碼：_____

Account Opening Form – Futures Account

(Corporate Account)

開戶表 – 期貨戶口

(公司戶口)



保利達集團

Polytec Group

亨達期貨有限公司

Hantec Futures Limited

亨達期貨有限公司

Hantec Futures Limited

OPENING INFORMATION FORM (CORPORATE ACCOUNT)

開戶資料表格 (公司戶口)

Account Number 賬號號碼		A/C Opening Date 開戶日期	
Name of Company 公司名稱	English 英文	Nature of business 業務性質	
	Chinese 中文		
CI and/ or Br No. 公司註冊證書號碼/ 香港商業登記號碼 (Please attach copies 請附上文件副本)			
Date and Place of Incorporation 公司註冊日期及地點			
Registered Office Address 註冊辦事處地址			
Business Address (if different) 營業地址 (如不同)			
All Correspondence and Statements to be sent to 所有書信及賬單請寄交本公司之		<input type="checkbox"/> Registered Office Address 住宅地址	<input type="checkbox"/> Fax . 傳真
		<input type="checkbox"/> Business Address 營業地址	<input type="checkbox"/> Email 電子郵址
		<input type="checkbox"/> Collect in Person (Reason) 自取	(原因) _____
Tel. No. 電話號碼		Fax. No. 傳真號碼	
Mobile Phone / Pager No. 手提電話 / 傳呼機		Email Address 電子郵址	
Authorised Share Capital (Each Share) 註冊資本 (每股)		Issued Share Capital (Each Share) 已發行資本 (每股)	
Particular of major shareholder(s) (shareholding of 10% or more) <not applicable to listed companies > 個人持有百份之十以上公司最終權益擁有人 (上市公司除外) Name 姓名 Contact Address and Tel No. 聯絡地址及電話			
(If there is insufficient space to complete, please continue on a separate sheet. 如空位不敷應用, 請另加紙繼續)			
Particular of director(s) of the company <not applicable to listed companies > 董事詳細資料 (上市公司除外) Name 姓名 Contact Address and Tel no. 聯絡地址及電話			
(If there is insufficient space to complete, please continue on a separate sheet. 如空位不敷應用, 請另加紙繼續)			
Bank Account Information 銀行賬戶資料			
Bank Name 銀行名稱		Branch 分行	
Account Name 賬戶名稱		A/C No. 賬戶號碼	

Annual Income (HKD) 每年收入(港幣)	Estimated Net Asset Value (HKD) 估計資產淨值(港幣)
Investment Experience (Years) 投資經驗(年資) Less than 1 year (少於一年) 1 to 3 Years (一至三年) 3 to 5 Years (三至五年) 5 to 10 Years (五至十年) Over 10 Years (十年以上)	Source of Income 收入來源 <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> Business Profit 業務溢利 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Dividend 股息 <input type="checkbox"/> Interest 利息 <input type="checkbox"/> 其他 Others:
Experienced Product(s) 曾投資的產品 <input type="checkbox"/> Stocks 證券 <input type="checkbox"/> Warrants 認股權證 <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> Options 期權 <input type="checkbox"/> ELN 高息票據 <input type="checkbox"/> Others, please specify 其他請註明:_____	Investment Objective(s) 投資目的 <input type="checkbox"/> Conservation of capital 保本投資 <input type="checkbox"/> Income 收入來源 <input type="checkbox"/> Long-term growth 長線增值 <input type="checkbox"/> Short-term trading 短期買賣 <input type="checkbox"/> Speculation 投機性資本增值 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Others, please specify 其他, 請描述 _____

Declaration 聲明

1. Please provide the name, ID no. and contact details of the ultimate beneficial owner(s) that stands to gain from the commercial or economic benefit of the transaction and /or bear its commercial or economic risk. (not applicable to listed companies)
請提供最終權益擁有人之姓名, 身份證號碼及聯絡詳情如該人士會從交易取得商業或經濟利益或承擔其商業或經濟風險 (上市公司除外)。

Name 姓名:	ID NO. 身份證號碼	Contact Address 聯絡地址
_____	_____	_____
_____	_____	_____
_____	_____	_____

Whether the ultimate beneficial owner(s) of the account is / are a director or an employee of any member of Hong Kong Exchange and Clearing Ltd.
本賬戶最終權益人是否香港交易所會員之董事或僱員 Yes 是 Name 姓名: _____ No 否

2. Is any individual/ director of the company a relative of an employee of Hantec Securities Company Ltd/ Hantec Futures Limited?
貴公司任何一位個人/ 董事與亨達證券有限公司/ 亨達期貨有限公司之職員是否有親屬關係?

Yes 是, Name 職員名稱: _____ Relationship:關係: _____
 No 否

3. Is any individual/ director of the company an employee of any participant of Hong Kong Futures Exchange or a registered person under the Securities and Futures Ordinance?
貴公司任何一位個人/ 董事是否其他香港期貨交易所參與者之僱員或任何根據證券及期貨條例註冊之人士?

Yes 是, Participant Name 參與者名稱: _____
Position 職位: _____ (CE No. 中央編號.: _____)
 No 否

Acknowledgement 確認

We confirm that We have read and agree to the terms of Standard Agreement For Futures Client and Risk Disclosure Statement which have been explained to us in a language that we understand.

本公司確認本公司已詳閱並同意期貨客戶標準協議書的條款及風險披露聲明，而且該等條款已經以本公司明白的語言向本公司解釋。

We represent that the information on this Opening Information Form is true, complete and correct and that the representations in the attached agreement are accurate. Your company is entitled to rely fully on such information and representations for all purposes, unless your company receives notice in writing of any change. Your company is authorised at any time to contact anyone, including our banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Confidential Profile.

本公司在本客戶開戶資料表格提供之一切資料均屬真實及完整無誤，而附上之客戶協議書內所有陳述亦屬準確。除非 貴公司收到更改有關聲明內容之書面通知， 貴公司有權在任何用途上完全依信此等資料聲明， 貴公司有權隨時聯絡任何人士，包括本公司之往來銀行、經紀或任何信貸調查機構，以求實本客戶機密資料內所載之內容。

The Common Seal of 公司印章

Name of Company

was hereto affixed pursuant to its board resolution

a certified copy of which is attached hereto.

已依據其董事會決議在此附上已證明之複印本

Date 日期 _____

(L.S. 公司印章)

Authorised Signature(s) 授權人簽名

Name 姓名:

Witness Name 見証人姓名

Witness Signature 見証人簽名

Professional /Occupation 專業 / 職業

Address

地址

Acknowledged and Accepted By
Hantec Futures Limited
經由亨達期貨有限公司承認及接納

Authorised Signature with Business Chop
授權人簽名及公司印章

Specimen Signature(s) 簽名式樣

The signature(s) appended below are our authorised specimen signature(s) and company chop against which you are authorised to effect our instructions in respect of funds transfers and deposit or withdrawal or other business in our accounts with you. We further agree that we will observe and be willing to be bound by your client agreement and that such instructions if bear any_____ of the below signatures with company chop will be valid and effective to all intents and purposes.

附列以下簽署及公司印章乃本公司之授權簽名式樣，憑授權簽名式樣其中_____名簽署及公司印章，即可發出有效指令，授權 貴公司從本公司之賬戶內存入或支付款項或進行其他交易，並同意具有之授權簽名式樣及公司印章之指令均會遵守及受約束於客戶章則。

1. Authorised Specimen Signature(s) 授權簽名式樣

3 Imprint of Company Chop below 公司蓋章式樣

2. Authorised Specimen Signature(s) 授權簽名式樣

Acknowledgement of the Internet Futures Trading Agreement / 確認互聯網期貨買賣協議書

We intend to use the Electronic Trading Service. I have read and understood the content of the Internet Futures Trading Agreement and accept and agree to be bound by the same.

本公司欲使用電子交易服務。本公司確認已閱讀並明白互聯網期貨買賣協議書，並且接受及同意受該協議書約束。

Authorised Specimen Signature(s) 授權簽名式樣

Imprint of Company Chop below 公司蓋章式樣

Date 日期

Date 日期

Password Delivery:密碼送遞: In person 親自到取 By Mail 郵寄 By Email:電郵: _____**Declaration by licensed Representative****持牌代表聲明**

I, a licensed representative, declare that I have provided the above client with the Standard Agreement for Futures Client, Risk Disclosure Statement in a language of the Client' s choice and invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the customer so wishes.

本人，以持牌代表身份，確認本人已按照上述客戶所選擇的語言提供期貨客戶標準協議書、風險披露聲明及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立意見(如客戶有此意願)。

Signed by licensed Representative

Name of Staff :職員姓名

持牌代表簽署

CE Number 中央編號

Date 日期

Checklist

- Certified copy of the Certificate of Incorporation (or Business Registration Certificate or other evidence of due incorporation), Memorandum and Articles of Association (or other constitutional documents) of the Client.
客戶的公司註冊證書的核證副本(或商業登記書或其它顯示妥當註冊的任何證據)、組織章程大綱及章程細則(或其他憲章文件)。
- Certified copy of audited accounts of the Client of the last two years and a balance sheet at a date not more than two months before the date of this form, or such other financial information as Hantec may from time to time agree.
客戶過去兩年的經審計帳目的核證副本及不超過本開戶表日期前兩個月的資產負債表或其他亨達不時同意的財務資料。
- Certified copy of the board resolution of directors with respect to opening and operating the account. 客戶有關開戶及運作此公司帳戶的董事局決議的核證副本。
- Copies of the Hong Kong ID Card(s) or Passport(s) of all Authorised Person(s), Director(s) and beneficial owner(s).
所有獲授權代理人、董事及本帳戶的最終權益擁有人的香港身份證或護照副本。
- Certified copy of the Register of Directors of the Client. 客戶的董事名冊核證副本。
- Certified copy of the Register of Members of the Client. 客戶的股東名冊核證副本。

Inputted by
資料輸入

Checked by
核對

Approved by
批核

Date: _____

Hantec Futures Limited

Dear Sir/ Madam,

Re: Letter of Guarantee

I/ We, _____ of HKID No./ Business Registration No. _____, hereby agree and confirm that I/ we will irrevocably and unconditionally undertake and guarantee to Hantec Futures Limited (“Hantec”) as follows:

- 1) the prompt and punctual payment to Hantec by the Client, _____, of all sums of monies whether of principal, interest or otherwise, due and payable on demand by you;
- 2) if default shall be made by the Client as stated in clause 1 above in payment of any or all the monies owed to Hantec, I/ we will as the guarantor, undertake to pay to Hantec any and all the monies owed and all other expenses and costs including but not limited to the interests and legal expenses and cost for enforcing this security;
- 3) I/ we will continue to indemnify Hantec against all losses, damages, costs and expenses or otherwise which may be incurred by Hantec as a result of default being made by the Client as stated in clause 1 above.

This guarantee shall be a continuing guarantee and my / our obligations shall not be discharged or released until the whole of the monies shall have been paid in full, notwithstanding any rule of law or equity to the contrary.

The terms and conditions shall be governed by and construed in all respects in accordance with the laws of Hong Kong SAR. The parties hereto hereby submit to the non-exclusive jurisdiction of the Hong Kong courts.

For and Behalf of

Witness by:

Signature/ Authorized Signature

Signature

Print Name:

CE No.:

Certified Extract of Resolution

Name of Company : _____ (“the Company”)

Registered Office: _____

Business Address: _____

To: **Hantec Futures Limited (“Hantec”)**

At a Meeting of the Directors of the Company duly convened and held at

_____ on the _____ day of _____, notice of which was duly given to the Directors of the Company and at which a quorum was present and acting throughout, the following Resolutions were duly passed and are now in full force and effect:

1 That any _____ Director(s) and/ or _____

_____ be and are hereby authorized and empowered on behalf of the Company

- to open any futures dealing Account(s) with Hantec Futures Limited (“Hantec”) and to give Hantec such instruction and/ or to sign any document and/ or to do any act or thing as may be necessary or expedient for the operation and maintenance of such Account(s) and, in particular, but without prejudice to the generality of the foregoing, such persons be and are hereby empowered on behalf of the Company to authorize and approve any transactions in futures; to give written or oral instructions to Hantec with respect to any such transactions or any matter concerning the Company’s Account(s);
- to bind the Company in the carrying out of any contract, arrangement or transaction which shall be entered into by any such person(s) on behalf of the Company with or through Hantec; to pay in cash or by cheque or draft drawn upon the funds of the Company or by any other means such sums as may be necessary in connection with any of the Company’s Account(s); to deliver futures contracts, commodities products and securities to Hantec; upon presentation of written instruction, to order the transfer or delivery thereof to any other person, and to order the transfer of the futures contracts or securities to any name selected by any such person;
- to affix the Company’s Common Seal or any instruments, documents and agreements, including, without limitation, any charge on futures, shares and similar securities which may at any time or from time to time require to be executed by the Company in favor of Hantec as securities for the Company’s obligation and liabilities to Hantec or otherwise; to charge any futures, shares or similar securities to Hantec or to pledge the certificates or title deeds therefore to Hantec; to endorse any futures, securities or contracts in order to pass title thereto; to direct the sale or exercise of any rights with respect to any futures;

- to withdraw from any futures, securities and funds that may from time to time be carried by Hantec for the account(s) of the Company; to sign for the company releases, powers of attorney and other instruments or documents in connection with any of the Company's Account(s) and to agree to any terms or conditions to control any such Account(s); upon presentation of written instruction, to direct Hantec to surrender any futures or securities to the proper agent or party for the purpose of effecting any exchange or conversion, or for the purpose of deposit with any protective or similar committee, or otherwise; to accept delivery of any securities or futures contracts;
- to appoint any other person(s) to do any and all things which any of the said person(s) is hereby authorized or empowered to do; and generally to do and/ or take any and all action necessary in connection with any of the Company's Account(s) or considered desirable by such person(s) in connection therewith.

2 That Hantec be supplied immediately with an up-to-date copy of the Company's Memorandum and Articles of Association and/ or other constitutional documents, as applicable and with a copy of each amending Resolution of the shareholders or the Directors (as the case may be) as soon as the same has been passed.

3 That Hantec be supplied immediately with a list of the names and specimen signatures of the Directors and any other person(s) authorized by Resolution clause 1 above to sign and act on behalf of and bind the Company, that Hantec be informed forthwith by the Chairman of the Board of Directors of the Company in writing of any changes thereto and that Hantec be and is hereby authorized and entitled to act upon any such information until and subject to the receipt of additional information and/ or any variation thereto from the Chairman or other authorized Directors of the Company in writing.

4 That an extract of any Resolution of the shareholders or the Directors (as the case may be) if purporting to be certified as true and complete and in accordance with the constitutional documents of the Company and any and all applicable laws and regulations by the Chairman of the meeting at which such Resolution was passed shall, as between Hantec and the Company, be conclusive evidence of the passing of such Resolution.

5 That an agreement, in the form produced to the Meeting, to be entered into by the Company with Hantec, setting out, inter alias, a mandate letter and the terms and conditions for the opening, maintenance and operation of the Company's futures dealing Account(s) with Hantec, be and is hereby approved, and that such agreement be executed in accordance with Resolution clause above for and on behalf of and so as to bind the Company.

6 That a copy of these Resolutions, certified by the Chairman of the Meeting, be delivered to Hantec and remain in full force and effect subject to any amending Resolutions which may be passed by the shareholders or Directors from time to time, and a copy thereof, certified by the Chairman of the Meeting, shall have been received by Hantec.

I, the undersigned, HEREBY CERTIFY that,

a) the foregoing is a true copy of the Resolutions of the Company as entered in the Minute Book of the Company and which were duly passed at a meeting of the Board of Directors of the Company dated _____ (the "Meeting") in accordance with the Memorandum and Articles of Association and/ or other constitutional documents, as applicable, of the Company and which are in compliance with any and all applicable legal and regulatory requirements relating to the Company;

b) I was present at, and took the chair of the Meeting;

c) the list of names of the Directors and other persons (if any) authorized to open and operate the futures dealing Account(s) on behalf of the Company, their specimen signatures and (if applicable) the specimen impression of the Company's chop, as supplied to you, are correct and genuine.

Date the _____ day of

Chairman of the Meeting



保利達集團

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亨達期貨有限公司

Hantec Futures Limited

香港期貨交易所參與者

Participant of Hong Kong Futures Exchange Ltd.

「評估客戶對衍生工具的認識」表格

評估客戶對衍生工具的認識的條件

1. 本人於過去三年，曾執行五次或以上有關衍生產品(不論是否在交易所買賣)的交易，例如：衍生權證、牛熊證、股票期權、期貨、商品、結構性產品及交易所買賣基金等。
2. 本人於現時或過去擁有與衍生產品有關的工作經驗*。(* 對於企業客戶，請提供負責掌管帳戶或作出投資決策的最終控制者之姓名及相關資料。) 職位：_____ 工作年期：
_____ 最終控制者之姓名(企業客戶適用)：
_____ 其他資訊：

3. 本人曾接受有關衍生產品的培訓或修讀相關課程*。(* 對於企業客戶，請提供負責掌管帳戶或作出投資決策的最終控制者之姓名及相關資料。) 最終控制者之姓名(企業客戶適用)：
_____ 請提供詳情：

4. 本人/我們確認已仔細閱讀及完全明白，由亨達期貨有限公司提供，並以本人/我們所選擇之語言(英文或中文)的「就在交易所買賣的衍生產品所附帶的風險作出解釋」。本人/我們並願意承擔交易相關衍生產品所帶來的潛在風險。

客戶聲明

本人/我們謹此聲明本人/我們已符合如下所示之上述評估條件並已提供相關資料：

條件(1) 條件(2) 條件(3) 條件(4)

客戶簽署 (所有聯名客戶必須簽署)

帳戶號碼：

帳戶姓名：

簽署日期：



保利達集團

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亨達期貨有限公司

Hantec Futures Limited

香港期貨交易所參與者

Participant of Hong Kong Futures Exchange Ltd.

“Assess a Client’s Knowledge of Derivatives” Form

Criteria for Assessing a Client’s Knowledge of Derivatives

1. I have executed five or more transactions in derivative products (whether traded on an exchange or not), e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures, Commodities, Structured Products and ETFs, etc. within the past three years.

2. I have current or previous work experience related to derivative products*.

(* For corporate client, please provide the name(s) and information relevant to the ultimate person(s) who control(s) the account or make(s) investment decision)

Position: _____ No. of years of experience: _____

Name(s) of Ultimate Person: (For corporate clients only) _____

Other information: _____

3. I have undergone relevant training or attended relevant courses on derivative products*.

(* For corporate client, please provide the name(s) and information relevant to the ultimate person(s) who control(s) the account or make(s) investment decision)

Name(s) of Ultimate Person: (For corporate clients only) _____

Please provide details: _____

4. I/We acknowledge that I/we have read and fully understood the document entitled “Explanation of Risks Associated with Exchange-Traded Derivative Products” provided by Hantec Futures Limited in a language of my/our choice (English or Chinese).

I/We am/are willing to accept the risks associated with trading derivative products.

Client Declaration

I/We hereby declare that I/we have fulfilled the above-mentioned assessment criterion/criteria as indicated below and provided the relevant information.

Criterion 1 Criterion 2 Criterion 3 Criterion 4

Client Signature : (All account holders of joint account must sign jointly)

Account No:

Account Name:

Date: